

# **AGENCY STRATEGIC PLAN**

**FOR THE FISCAL YEARS**

**2005 - 2009**



Arkansas Science & Technology Authority

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# **AGENCY STRATEGIC PLAN APPROVAL FORM**

**FOR THE FISCAL YEARS**

**2005 - 2009**

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# TABLE OF CONTENTS

## **AGENCY:**

MISSION.....	Page 1
GOALS .....	Page 1

## **RESEARCH AND COMMERCIALIZATION PROGRAM:**

DEFINITION .....	Page 2
GOALS, OBJECTIVES, STRATEGIES .....	Page 2
PERFORMANCE MEASURES.....	Page 5

## **TECHNOLOGY AND MANUFACTURING EXTENSION PROGRAM:**

DEFINITION .....	Page 6
GOALS, OBJECTIVES, STRATEGIES .....	Page 6
PERFORMANCE MEASURES.....	Page 7

## **MANAGEMENT SERVICES PROGRAM:**

DEFINITION .....	Page 8
GOALS, OBJECTIVES, STRATEGIES .....	Page 8
PERFORMANCE MEASURES.....	Page 9

# STRATEGIC PLAN

Agency Name	Arkansas Science & Technology Authority
Agency Mission Statement: To exert leadership in and to give direction to a broad spectrum of programs and services designed to gain for this state and its people the benefits and opportunities to be realized through advanced science and technology.	

## **AGENCY GOAL 1:**

To plan, promote, influence, and support with high quality programs and services the commercialization of research innovations thereby helping to grow the Arkansas economy and increase per capita income.

# STRATEGIC PLAN

<b>Agency Name</b>		<b>Arkansas Science &amp; Technology Authority</b>
<b>Program</b>		<b>Research and Commercialization Program</b>
<b>Program Authorization</b>		<p>ACA 15-3-109(a) (1) &amp; 15-3-110 (a) – (c) (2); Basic Research Grant Program Rules (August 1987); ACA 15-3-201 through 15-3-208</p> <p>ACA 15-3-120 through 15-3-122; 15-3-109(a)(6) &amp; 15-3-110(e)(1) through (4) Seed Capital Investment Program Rules (November 1995) &amp; Technology Development Rules (June 1993)</p> <p>ACA 15-3-109(a)(4); 15-3-130 through 15-3-134; 15-3-109(a)(2) &amp; 15-3-110(d)(1) through (4); Applied Research Grant Program Rules (August 1987), Technology Transfer Assistance Grant Program Rules (April 1994) and Centers for Applied Technology Program Rules (October 1998)</p>
<b>Program Definition:</b>  <b>Funds-Center Code:</b> _____ <b>0327PXX</b>		The Research and Commercialization Program supports strategic state investments, including R&D tax credits, in college and university research and educational activities, development of new products, and the commercialization of new technology.
<b>AGENCY GOAL(S) #</b>	<b>1</b>	
<b>Anticipated Funding Sources for the Program:</b>		<b>General Revenue, General Improvement, and Cash Funds</b>

## GOAL 1:

To increase research activities in Arkansas.

**OBJECTIVE 1:** (Sub-Funds Center Code: \_\_\_\_\_ ) Assigned by DFA – Office of Accounting

To increase externally funded research activities.

### STRATEGY 1:

Fund basic research to make university scientists, technologists, and engineers more nationally competitive for federal research funds.

### STRATEGY 2:

Support larger-scale research projects and research infrastructure investments that make higher education institutions more nationally competitive for federal research funds.

# **STRATEGIC PLAN**

## **STRATEGY 3:**

Support strategic research and research infrastructure projects that are relevant to the state's economic growth and that make higher education institutions more nationally competitive for federal research funds.

## **STRATEGY 4:**

Increase the number of faculty in research.

## **STRATEGY 5:**

Increase shared projects among institutions.

## **STRATEGY 6:**

Increase relationships between higher education and business development.

## **STRATEGY 7:**

Increase federal research investments at federal facilities in Arkansas.

## **STRATEGY 8:**

Improve science, technology, engineering, and mathematics education.

## **GOAL 2:**

To develop new products and firms.

**OBJECTIVE 1:** (Sub-Funds Center Code: ) Assigned by DFA – Office of Accounting

To increase knowledge worker jobs through entrepreneurship and new company formation.

## **STRATEGY 1:**

Fund seed capital investments, thereby increasing deal flow for private equity investments.

## **STRATEGY 2:**

Develop new products or services, around which to create new knowledge-based companies.

## **STRATEGY 3:**

Support SBIR (Small Business Innovation Research Program) efforts (i.e. proposal preparation) in new enterprises and leverage Phase I & II SBIR awards (with all relevant programmatic activities of the Authority).

## **STRATEGY 4:**

# **STRATEGIC PLAN**

**Facilitate increased private equity investments in such firms through tax credits under all programs of the Authority.**

## **STRATEGY 5.**

**Seek outside support to promote entrepreneurship.**

## **STRATEGY 6:**

**Support the Arkansas Department of Economic Development's use of R&D Tax Credits.**

## **STRATEGY 7:**

**Support CCDC use of investment tax credits.**

# STRATEGIC PLAN

Agency Name	Arkansas Science & Technology Authority
Program	Research and Commercialization Program

## PERFORMANCE MEASURES: (Effort, Output, Outcome, and/or Efficiency)

DESCRIPTION (Indicate the Goal and Objective to which applicable)	METHODS AND SOURCES USED OBTAINING DATA	FISCAL YEAR 2005	FISCAL YEAR 2006	FISCAL YEAR 2007	FISCAL YEAR 2008	FISCAL YEAR 2009
<b>[1.]</b> Output measurement of Goal 1, Objective 1: Number of projects and initiatives	Project management, internal databases, and Metrics document	18	22	24	33	44
<b>[2.]</b> Outcome measurement of Goal 1, Objective 1: Federal R&D funding at colleges and universities	National Science Foundation and Metrics document	\$70 million	\$76 million	\$84 million	\$92 million	\$98 million
<b>[3.]</b> Output measurement of Goal 2, Objective 1: Number of companies and new enterprises enabled	Project management, internal databases, and Metrics document	8	8	8	10	12
<b>[4.]</b> Outcome measurement of Goal 2, Objective 1: Amount of venture capital funds invested in Arkansas companies	National Venture Capital Assn. and Metrics document	\$15 million	\$18 million	\$19 million	\$20 million	\$21 million



# STRATEGIC PLAN

Agency Name	Arkansas Science & Technology Authority
Program	Research and Commercialization Program

## SUPPLEMENTAL DATA: (to be reported in the Interim Progress Reports)

- Amount of state investment in basic research
- Amount of state investment in research matching and strategic research
- Five-year rate of return of federal follow-on awards as a ratio to basic research by fiscal year
- Federal funds leveraged by ARMF and R&D Plan implementation divided by total federal R&D funds
- State seed capital investment

# STRATEGIC PLAN

<b>Agency Name</b>		<b>Arkansas Science &amp; Technology Authority</b>
<b>Program</b>		<b>Technology and Manufacturing Extension Program</b>
<b>Program Authorization</b>		<b>ACA 15-3-109(a)(4); 15-3-130 through 15-3-134; 15-3-109(a)(2) &amp; 15-3-110(d)(1) through (4); Applied Research Grant Program Rules (August 1987), Technology Transfer Assistance Grant Program Rules (April 1994) and Centers for Applied Technology Program Rules (October 1998)</b>
<b>Program Definition:</b>  <b>Funds-Center Code: _____</b> <b>0327PXY</b>		<b>The Technology and Manufacturing Extension Program plans strategic state investments in, evaluates proposals and applications for, and supports Manufacturing Extension, Technology Transfer, and Applied Research.</b>
<b>AGENCY GOAL(S) #</b>	<b>1</b>	
<b>Anticipated Funding Sources for the Program:</b>		<b>General Revenue, Special Revenue, Federal Funds</b>

## GOAL 1:

To maintain and transform existing enterprises into knowledge-based companies and increase their global competitiveness.

**OBJECTIVE 1:** (Sub-Funds Center Code: \_\_\_\_\_ ) Assigned by DFA – Office of Accounting

To increase technology and training in existing Arkansas companies.

## STRATEGY 1:

Support technology transfer to existing enterprises.

## STRATEGY 2:

Support Arkansas Manufacturing Solutions consistent with a federally mandated focus on manufacturing.

# STRATEGIC PLAN

Agency Name	Arkansas Science & Technology Authority
Program	Technology and Manufacturing Extension Program

## PERFORMANCE MEASURES: (Effort, Output, Outcome, and/or Efficiency)

DESCRIPTION (Indicate the Goal and Objective to which applicable)	METHODS AND SOURCES USED OBTAINING DATA	FISCAL YEAR 2005	FISCAL YEAR 2006	FISCAL YEAR 2007	FISCAL YEAR 2008	FISCAL YEAR 2009
<b>[1.]</b> Outcome measurement for Goal 1, Objective 1: Number of jobs created or retained	Internal database, Network survey, and Metrics document	400	450	470	470	470
<b>[2.]</b> Output measurement for Goal 1, Objective 1: Number of enterprises assisted per year	Internal database and Metrics document	263	272	275	288	296
<b>[3.]</b> Outcome measurement for Goal 1, Objective 1: Percent of State Payroll in High-technology NAICS Codes	Office of Technology Policy and Metrics document	9.1%	9.2%	9.3%	9.4%	9.5%

## SUPPLEMENTAL DATA: (to be reported in the Interim Progress Reports)

- Applied research investment in public-private partnerships
- Technology Transfer Investments
- Manufacturing Extension Investments
- Manufacturing Extension State Investment Leverage Ratio (Non-state funding/state funding)

# STRATEGIC PLAN

<b>Agency Name</b>		<b>Arkansas Science &amp; Technology Authority</b>
<b>Program</b>		<b>Management Services Program</b>
<b>Program Authorization</b>		<b>ACA 15-3-101 through 208; Agency Rules and guidelines; Board documents; applicable Executive Orders, Federal Laws, Federal Regulations, etc.</b>
<b>Program Definition:</b>  <b>Funds-Center Code: _____</b> <b>0327PXZ</b>		<b>The Management Services Program establishes the quality framework for governance of the Authority and administration of its programs and services.</b>
<b>AGENCY GOAL(S) #</b>	<b>1</b>	
<b>Anticipated Funding Sources for the Program:</b>		<b>General Revenue, Special Revenue, Federal Funds</b>

**GOAL 1:**

To become a more effective and efficient organization through the application of quality management.

**OBJECTIVE 1:** (Sub-Funds Center Code: ) Assigned by DFA – Office of Accounting

To administer programs more effectively and efficiently.

**STRATEGY 1:**

Implement quality management practices throughout the agency in order to carry out the Authority's mission and to meet all performance targets.

# STRATEGIC PLAN

Agency Name	Arkansas Science & Technology Authority
Program	Management Services Program

## PERFORMANCE MEASURES: (Effort, Output, Outcome, and/or Efficiency)

DESCRIPTION (Indicate the Goal and Objective to which applicable)	METHODS AND SOURCES USED OBTAINING DATA	FISCAL YEAR 2005	FISCAL YEAR 2006	FISCAL YEAR 2007	FISCAL YEAR 2008	FISCAL YEAR 2009
<b>[1.] Outcome measurement for Goal 1, Objective 1: Percent of performance targets met</b>	Strategic Plan Implementation and Metrics document	100%	100%	100%	100%	100%
<b>[2.] Efficiency measurement for Goal 1, Objective 1: Percent of agency budget in the Management Services Program compared to total agency budget</b>	Strategic Plan Implementation, budget expenditures, and Metrics document	25%	25%	25%	25%	25%
<b>[3.] Effort measurement for Goal 1, Objective 1: Information technology budget as a percent of total budget</b>	Strategic Plan Implementation, budget expenditures, and Metrics document	3%	3.5%	3.5%	3.5%	3.5%
<b>[4.] Effort measurement for Goal 1, Objective 1: Number of proprietary information systems maintained by agency staff or maintained through contractual services</b>	Strategic Plan Implementation and Metrics document	1	1	1	1	1
<b>[5.] Outcome measurement for Goal 1, Objective 1: Number of prior year audit findings repeated in subsequent audit</b>	Strategic Plan Implementation and Metrics document	0	0	0	0	0